

MESSAGE TO THE CHAIR

November 1, 2001

The Honorable Cari M. Dominguez
Chair
Equal Employment Opportunity Commission
Washington, D.C. 20507

Dear Madam Chair:

On behalf of the Office of Inspector General (OIG) for the Equal Employment Opportunity Commission (EEOC), I am pleased to submit the first Semiannual Report to the Congress since your appointment as Chair. This report summarizes significant OIG activities for the six month period that ended September 30, 2001.

During this reporting period, we continued to work with EEOC to identify sound business management and operational improvements in the Agency's programs and operations. The Investigations staff closed 213 matters through either OIG investigation, resolution, or referral to other Agency offices for appropriate action. Audit activities include completion of an evaluation of the Agency's information security plan and field work associated with the audit of the Education, Technical Assistant and Training Revolving Fund.

As detailed later in this report, the audit and investigative activities carried out during this period, together with other initiatives that are still in progress, have specifically addressed all issues that we've identified as management challenges facing EEOC and accomplished OIG's strategic goals.

I want to take this opportunity to thank you, the Commissioners, and EEOC's senior managers, for the support that the OIG has received during this reporting period. I also want to express my sincere appreciation for the accomplishments of all OIG employees, and commend them for their continued commitment to the mission, professionalism, and willingness to accept new challenges.

Sincerely,



Aletha L. Brown
Inspector General

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EXECUTIVE SUMMARY

This section highlights selected audits and investigations conducted during the reporting period. More detailed summaries appear in subsequent sections of this report.

AUDITS

OIG completed an evaluation of the Agency Information Security Plan pursuant to the *Government Information Security Reform Act*. OIG concluded that EEOC's automated information security program meets the requirements of the law.

The OIG obtained the services of an independent external audit firm to perform, with OIG oversight, the audit of the *EEOC Education, Technical Assistance and Training Revolving Fund Act of 1992 (P.L. 102-411)*. The Revolving Fund was created as a vehicle through which the Agency, on a fee basis, would develop and deliver comprehensive and specialized external education, technical assistance, and training relating to the laws it enforces. Field work was completed in September and a draft report is forthcoming.

As part of the evaluation of the validity of information entered into the Agency's Charge Data System (CDS) by field offices, OIG conducted an evaluation of the procedures employed by a field office regarding the accuracy of monetary benefit information entered into CDS. A draft report is anticipated during the first quarter of FY 2002.

OIG began a review of the Agency's financial and personnel and payroll systems implementation. The Integrated Financial Management System (IFMS) will provide a single integrated source of financial data for all internal management and external reporting needs. The Federal Personnel/Payroll System (FPPS) will provide real-time access to personnel and payroll data for agency decision making. Field work will be completed by the end of December 2001.

OIG began conducting an overall assessment of *Government Performance and Results Act (GPRA)* documents, determined the scope of the assignment and conducted initial data gathering. OIG intends to communicate work results in time to assist EEOC in developing the FY 2001 Performance Report and the FY 2003 Performance Plan documents.

INVESTIGATIONS

During the period, Investigations staff closed 213 matters, of which 155 were hotline contacts. OIG investigative activities included the investigation of allegations that someone used a Government VISA Smart Pay card, issued to an EEOC district office, to make an unauthorized purchase of a round trip plane ticket. The matter was referred to the Bank of America Fraud Division for inquiry.

OIG completed work on a joint 2-year investigation with the Drug Enforcement Administration of the Department of Justice. A report addressing the conduct of an EEOC employee is under review by OIG Management.

OIG received an allegation that a supervisor had used his position to obtain sexual favors from a subordinate employee and had physically assaulted the employee in the work place. The OIG investigation revealed that the supervisor in question did not have any supervisory authority over the employee and that the two had been involved in a consensual intimate relationship. The investigation also revealed that the supervisory official had pushed and attempted to choke the employee during an altercation which occurred in the office. Agency management disciplined the supervisory employee.

In another matter it was alleged that while on a detail to another office, a District Director used the Government-owned vehicle for personal use and had also misused the Government telephones to make personal long distance calls. An OIG inquiry revealed that the District Director had received permission from the Commission's Designated Agency Ethics Official (DAEO) to use the Government vehicle while on a detail and that there had been no misuse of the Agency's telephones by the District Director.

OIG lent assistance to the Federal Bureau of Investigations (FBI) Evidence Recovery Team following the September 11, 2001 Terrorist Attacks. The Criminal Investigators assisted in the extensive search and recovery of evidence at the Pentagon. Two Agents assisted in the recovery efforts for a total of 112 hours.

THE OFFICE OF INSPECTOR GENERAL

The *Inspector General Act of 1978* was passed to ensure a level of integrity and efficiency that fulfills the American taxpayer's expectation for excellence and accountability in the Federal Government and its programs. Inspectors General (IG) are under the general supervision of the agency head and have substantial independence, authority and responsibility to conduct audits and investigations of agency programs. They have direct access to all agency records and materials (physical and electronic); issue subpoenas for all necessary information, data, reports, and other documentary evidence; administer oaths before taking testimony; hire their own staff; and request assistance from other Federal, state and local government agencies. They also act as independent fact finders, often undertaking initiatives at the request of the agency head, and provide assessments in such areas as financial management systems and internal controls. Generally, the IG and agency management pursue the same goal of efficient and effective program operation and service delivery.

Congress established an Office of Inspector General at the EEOC through the 1988 amendment of the *Inspector General Act*, which expanded authority to independent agencies and federal entities. OIG's primary responsibility is to assist the EEOC by ensuring integrity, efficiency, and accountability in the agency's programs to enforce laws against discrimination in the workplace. Specifically, OIG supports the Agency by carrying out its mandate to independently and objectively conduct and supervise audits and investigations; prevent and detect fraud, waste, and abuse; and promote economy and efficiency in programs and operations. The OIG keeps EEOC's Chair and members of the Congress fully and currently informed about problems, recommends corrective actions, and monitors the EEOC's progress in implementing such action.

ORGANIZATION AND FUNCTIONS

The OIG is under the supervision of the Inspector General who provides overall direction, coordination, and leadership to staff. The OIG includes a deputy inspector general, an audit staff, an investigative staff, an independent counsel, and an administrative staff. The Deputy Inspector General serves as alter ego of the Inspector General and has the responsibility for providing overall program guidance, direction and supervision to audit and investigative staffs. The audit program provides assurance to the Chair and to Congress that EEOC programs are working efficiently and effectively. The audit staff conducts performance and financial audits, as well as special reviews and evaluations. These audits focus on management controls, administrative and program operations, transaction processing and financial and other information systems. In special evaluations, the OIG considers the

implications of EEOC programs, operations and policies.

The mission of the investigative program is to perform investigative activities related to the integrity of the EEOC's programs. Most of OIG's investigations focus on violations of law or misconduct by Agency employees, as well as allegations of irregularities or abuses in operations and programs. When needed, OIG's investigators work in concert with other law enforcement entities. More than half of investigative inquiries result from employees and the general public contacting OIG's hotline. A significant amount of these calls concern EEOC's discrimination complaint process and are referred to the appropriate program office.

OIG's Counsel to the Inspector General provides independent legal advice on issues concerning criminal law and procedures, evidence, and administrative and constitutional law as they relate to OIG's investigative program. The CIG develops legal interpretations of appropriation law, financial management statutes and regulations and procurement and funding rules in support of the OIG's audit program. The CIG reviews each report product issued by OIG for legal sufficiency. Additionally, the CIG conducts reviews and provides comments on existing and proposed legislation, regulations, directives and policy issues that affect EEOC and OIG programs and operations.

The administrative staff maintains control of OIG funds, manages personnel and procurement operations, operates OIG's hotline, responds to inquiries from the public and performs a variety of other support functions.

During the period, OIG hired a senior evaluator to provide in-depth coverage of Agency performance and operations. Also, OIG instituted Law Enforcement Availability Pay (LEAP) for criminal investigators. Availability pay is a type of premium pay that is paid to Federal Law Enforcement Officers who are criminal investigators. Due to the nature of their work, criminal investigators are required to work, or be available to work, substantial amounts of "unscheduled duty." Availability pay is generally an entitlement that an agency may provide if the required conditions are met.

THE EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

The EEOC is the federal agency responsible for enforcement of: the *Age Discrimination in Employment Act of 1967*; Title VII of the *Civil Rights Act of 1964, as amended*; the *Equal Pay Act of 1963*; in the Federal sector only, *section 501 of the Rehabilitation Act of 1963*; the *Americans with Disabilities Act of 1990*; and the *Civil Rights Act of 1991*. These statutes prohibit employment discrimination based on race, sex, religion, national origin, age, or handicap status. The EEOC is also responsible for carrying out Executive Order 12067,

which promotes coordination and minimizes conflict and duplication among Federal agencies that administer statutes or regulations involving employment discrimination.

The EEOC budget for FY 2001 was \$303.2 million. The budget supports three activities:

Executive direction and support activity provides for the direction and coordination of the Agency's programs, and also provides administrative and management support services.

Enforcement activity resolves charges of employment discrimination filed with the Commission and pursues litigation to enforce compliance with *Title VII*, the *Equal Pay Act*, the *Age Discrimination and Employment Act*, the *Americans with Disabilities Act*, and the *Civil Rights Act of 1991*. EEOC continues to reduce charge inventories through a Comprehensive Enforcement Program that ensures collaboration between investigatory and legal staff in all phases of the Commission's work, including outreach, intake, and investigation, to expedite charge resolution; and, when cases are not settled through mediation, to ensure that these, and other older and more complex cases, are addressed in a fair and efficient manner. Regarding complaints in the federal sector, the appeals inventory has been reduced to about 7,500 appeals by the end of FY 2001, from a high of almost 12,000 in February 2000.

State and local grants activity provides funds to state and local fair employment practices agencies to assist in the resolution of employment discrimination complaints. The EEOC Education, Technical Assistance, and Training Revolving Fund Act of 1992 created a revolving fund to pay for the cost of providing education, technical assistance and training relating to the laws administered by the Commission.

The EEOC operates 50 field offices and has a workforce of about 2,900. In July 2001, the EEOC opened its 51st office in San Juan, Puerto Rico. The San Juan office will handle employment discrimination charges from Puerto Rico and the U.S. Virgin Islands.

On August 6, 2001, Cari M. Dominguez was sworn in as Chair of the EEOC, succeeding Ida L. Castro. Most recently, Chair Dominguez served as a principal of Dominguez and Associates, a Maryland-based consulting firm. Ms. Dominguez continues a distinguished career in federal service, having previously served in the U. S. Department of Labor as Assistant Secretary for Employment Standards and as Director of the Office of Federal Contract Compliance Programs.

Among the tragic events of Tuesday, September 11, 2001, was the destruction of the

Agency's New York District Office, located on the 18th floor of the World Trade Center, Building 7. Fortunately, all EEOC personnel were safely evacuated from the building before it collapsed. The agency expects to have New York personnel relocated to an alternative worksite(s) and operations should resume in early Fiscal Year 2002.

MANAGEMENT CHALLENGES FACING EEOC

During the reporting period, OIG assessed the issues confronting government entities and identified those which present the greatest challenges to EEOC management. As of August 30, 2001, OIG identified the following challenges. (These are not ranked in order of importance.)

Utilization of Human Capital

Maintenance of a highly competent staff to carry out EEOC's law enforcement mission. This includes recruitment and retention strategies; training, skills development and maintenance; telecommuting and the virtual office; alternative work scheduling and job sharing; and increased use of contractors.

Information Technology and Security

Development of an information system architecture that enables the Agency to enhance its communication performance through continuous technological improvements, as well as developing means to ensure the security and availability of the Agency's information system assets and data.

Performance Based Management and Budgeting

Identification of appropriate performance measures and applying them to budget and management decision making and transitioning from output to outcomes.

Business Process Re-engineering

Evaluation of the way EEOC conducts its operations and determining the impact of new financial management, payroll and personnel, and integrated mission systems on existing business processes.

THE AUDIT PROGRAM

Audit and Evaluation staff are responsible for conducting independent and objective audits, evaluations, and special studies of EEOC programs, functions, activities, and operations. This work is intended to help managers improve and enhance the effectiveness and efficiency of their programs.

All work conducted under the Audit Program supports the OIG Strategic Goal to improve the economy, efficiency, and effectiveness of EEOC programs, operations, and activities.

COMPLETED ASSIGNMENT

Evaluation of Agency Information Security Plan Pursuant to Government Information Security Reform Act Requirements (OIG Report Number: 01-06-AIC)

OIG issued an executive summary of its assessment of the Agency's automated information security program, as required by the *Government Information Security Reform Act of 2001* (GISRA). GISRA outlines the information security management requirements for agencies, including an annual independent assessment conducted by each agency's Inspector General.

OIG concluded that EEOC's automated information security program meets the requirements prescribed by GISRA. OIG bases its opinion on a comparison of the Agency's security program, policies, procedures, and internal controls, to the information security system standards outlined in the General Accounting Office's (GAO), "*Federal Information System Controls Audit Manual*"; Chief Information Officer Council's, "*Federal Information Technology Assessment Framework*"; and the National Institute of Science and Technology's, "*Self-Assessment Guide for Information Technology Systems*."

ONGOING AUDIT ACTIVITY

OIG Performance Audit of the Education, Technical Assistance and Training Revolving Fund. (OIG Report Number 01-07-APO)

Congress passed the *EEOC Education, Technical Assistance and Training Revolving Fund Act of 1992 (P.L. 102-411)* as a vehicle through which the Agency, on a fee basis, would develop and deliver comprehensive and specialized external education, technical assistance, and training relating to the laws it enforces. The Revolving Fund, which commenced

operations in 1993, is a public enterprise fund that carries out a cycle of business-type operations. The OIG initiated its first audit of the fund during the reporting period and contracted M.D. Oppenheim & Company, P.C. (MDO) to conduct the audit. The purpose of the audit was to determine the extent to which the Revolving Fund achieved the results and provided benefits established by *P.L. 102-411*. Also OIG will identify factors inhibiting satisfactory performance and methods to improve program performance. MDO has completed its field work and a draft report will be issued in Fiscal Year 2002.

Office of Human Resources Computer Security Awareness Training Program Management Advisory (OIG Report Number 01-10-AIC)

OIG has completed field work on an evaluation of the Agency's Computer Security Awareness Training Program. *EEOC Order 240.005 - Automated Information Security* establishes the Office of Human Resources as responsible for ensuring that all employees, especially new employees, have received and signed an acknowledgment that they have read a copy of *Information Security Responsibilities of EEOC Employees*. In reviewing this management control activity OIG is examining the level of compliance with the *Order*. This management advisory will issue during the first quarter of Fiscal Year 2002.

Evaluation of Investigative Charge File Information Reporting (OIG Report Number 01-05 -AEN)

As part of the evaluation of the validity of information entered into the Agency's Charge Data System (CDS) by field offices, OIG conducted an evaluation of the procedures employed by a field office regarding the accuracy of monetary benefit information entered into CDS. The purpose of this evaluation was to assess the validity and accuracy of the monetary benefit information reported by the field office, and to ensure that applicable guidelines and procedures are followed, in order to ensure that reported information is appropriately safeguarded against potential fraud, waste, and/or abuse. A draft report is anticipated in the first quarter of Fiscal Year 2002.

Evaluation of EEOC's Performance Planning and Reporting Under the Government Performance and Results Act (OIG Report Number 01-12-AMR)

The *Government Performance and Results Act of 1993 (GPRA)*, requires Federal agencies to prepare annual performance plans and performance reports. The Annual Performance Plan communicates what the Agency proposes to accomplish during the fiscal year, how it will be accomplished, and describes how the Agency will assess whether the desired results

are achieved. The Performance Report communicates results by reporting on achievement of performance measures.

OIG began conducting an overall assessment of GPRA documents, determined the scope of the assignment and conducted initial data gathering. OIG intends to communicate work results in time to assist EEOC in developing the FY 2001 Performance Report and the FY 2003 Performance Plan documents.

Evaluation of EEOC Field Office Infrastructure (OIG Report Number 01-13-AMR)

OIG is conducting an evaluation of EEOC's field office infrastructure. Through a limited case study approach, OIG will examine such issues as space utilization, the use of technology and the Agency's use of telecommuting, in an effort to examine the effectiveness and efficiency of the existing field office environment. The evaluation includes a general analysis of Agency-wide data and a detailed analysis of one representative field location, as well as a look at best practices and bench marking in the Federal government and the private sector. OIG intends to issue a preliminary report in Fiscal Year 2002.

The following audits meet OIG's Strategic Goal to strengthen EEOC Financial Management through Mandated Audits and Oversight Responsibilities.

Contract Audit Close-Out of Contract Number 06/0831/0156, KPMG Peat Marwick (OIG Report Number 01-08-ACC)

OIG is conducting a contract closeout audit of Contract Number 06/0831/0156. This contract called for the contractor to provide automated data processing support to the EEOC. The purpose of the audit is to ensure the accuracy of costs charged for services provided and determine the final cost of the contract to the Agency. The report will issue during the first quarter of Fiscal Year 2002.

Review of Travel Vouchers and Claims for Reimbursements (OIG Number 01-11-ATR)

OIG plans to review employee travel vouchers and claims for reimbursement for FY 2001. A request for proposals was issued during the period. The objectives of the review are to determine whether travel vouchers and orders were properly authorized and paid. OIG plans to hire a contractor that will conduct a significant portion of this work, and will issue a report in Fiscal Year 2002.

Monitoring of the Implementation of Agency's Financial, Personnel and Payroll Systems

During the reporting period, OIG began a review of the Agency's financial, personnel and payroll systems implementation. EEOC has partnered with the Department of Interior to support these mission critical operations. The Integrated Financial Management System (IFMS), which replaces the troubled FINASST system, will provide a single integrated source of financial data for all internal management and external reporting needs, while the Federal Personnel/Payroll System (FPPS) provides real-time access to personnel and payroll data for agency decision making. Both systems employ proven mature technology and promise enhanced communications and improved data accuracy, reliability and reporting for employees, vendors and the general public. OIG's goal is to timely identify challenges, recommend solutions, and report observations. The FPPS conducted successful parallel testing in August and became operational on September 23, 2001. While IFMS became operational on October 1, 2001, without backup from FINASST. OIG will complete its system implementation review at the end of December 2001.

OTHER AUDIT & EVALUATION ACTIVITIES

Single Audit Act

The Single Audit Act of 1984, requires recipients of federal funds to arrange for audits of their activities. Federal agencies that award these funds must review resulting audit reports to determine whether prompt and appropriate corrective action has been taken in response to audit findings. OIG reviewed 97 audit reports, that were issued by public accounting firms, concerning Fair Employment Practice Agencies that have work sharing agreements with EEOC. (See Appendix)

Audit Follow-up

As required by *Section 5(a)(3) of the Inspector General Act of 1978, as amended*, semiannual reports shall include a summary of each audit report issued before the commencement of the reporting period on which corrective action has not been completed by the end of the reporting period. OIG currently has one report with a recommendation that is outstanding:

OIG reported in a previous semiannual that in *OIG Report Number 00-03-APO, Review of Wage Determination Rates*, issued on September 29, 2000, a determination was made by OIG recommending that upon completion of the contract for services rendered to Agency by the vendor, EEOC issue an additional payment in the amount of \$18,992. OIG has been advised by the Agency's Audit Follow-up Official that issuance of the additional payment is still pending.

THE INVESTIGATIVE PROGRAM

All investigative work performed supports OIG's Strategic Goal to focus limited investigative resources on issues that represent the greatest risk, and offer the maximum opportunity, to detect and prevent fraud, waste and abuse in EEOC programs and operations.

During the period, Investigations staff closed 213 matters, of which 155 were hotline contacts. Employment discrimination complaint (charge processing) issues were referred to OIG by Congress, other inspectors general and by charging parties or respondents (employers). These charges were either resolved by OIG and/or directed to field offices, the Office of Field Programs (OFP) and the Office of Federal Operations (OFO), for appropriate action. Also, OIG lent assistance to the Federal Bureau of Investigations Evidence Recovery Team, following the September 11, 2001 terrorist attacks. The criminal Investigators spent 112 hours at the Pentagon participating in the extensive search for and recovery of evidence.

INVESTIGATIVE INQUIRIES

Allegations	Total
Charge Processing	87
Other	73
Title VII	29
Mismanagement	9
Ethics	3
Theft	2
Other Criminal Violations	1
Fraud	9
Totals	213

COMPLETED INVESTIGATIONS**Joint Investigation**

OIG completed work on a joint 2-year investigation with the Drug Enforcement Administration of the Department of Justice. A report addressing the conduct of an EEOC employee is under review by OIG Management.

Report of Stolen Credit Card

A Government VISA Smart Pay card, issued to an EEOC district office was used to make a purchase of a round trip plane ticket. The ticket was not authorized or purchased for the office to which the card was issued. The matter was referred to the Bank of America Fraud Division for inquiry.

Allegation of Improper Promotion Practices

OIG received an allegation that a District Director had given an employee a promotion based on a sexual relationship. A review of the pertinent records in the matter was conducted. The records revealed that the employee was eligible for the promotion. The case was subsequently closed.

Alleged Misuse of a Government Vehicle and Telephone

OIG received an allegation that a District Director had used the Government vehicle assigned to the office at which he worked for personal use and had misused the Government telephones to make personal long distance calls. An OIG inquiry revealed that the District Director had received permission from the Commission's Designated Agency Ethics Official (DAEO) to use the Government vehicle while he was on a detail and that there had been no misuse of the Agency's telephones by the District Director.

Alleged Practice of Law Without a License

This allegation involved an EEOC Administrative Law judge who failed to maintain an active status with the State Bar. The complainant questioned the legality of the decision issued by the Administrative Judge. OIG investigated the complaint and determined that the State Bar affirmed the Administrative Judge was licensed to practice in the state, but was in an inactive status with the Bar. The Administrative Judge used a special exemption granted to attorneys in Federal positions.

Alleged Assault and Ethics Violation by a Supervisor

OIG received an allegation that a supervisor had used his position to obtain sexual favors from a subordinate employee and had physically assaulted the employee in the work place. The OIG investigation revealed that the supervisor in question did not have any supervisory authority over the employee and that the two had been involved in a consensual intimate relationship. The investigation also revealed that the supervisory official had pushed and attempted to choke the employee during an altercation which occurred in the office. Agency management disciplined the supervisory employee.

Pre-selection Allegation Involving Prohibited Personnel Practices

OIG received an anonymous allegation that an employee had been preselected for a position in the Agency. Evidence provided by the complainant showed that the individual selected for the position, was named in a letter and identified for the position three months prior to the issuance of the announcement. The OIG investigation supported the allegation. OIG closed the investigation after determining that all the individuals involved in the preselection had terminated their employment with the EEOC. The individual selected has since transferred out of the Agency.

Mail Fraud/Impersonation of an EEOC Official

OIG received a complaint that entailed the mailing of 25 letters to individuals in the private sector, requesting information on their employer in a discrimination case. The letters used EEOC letterhead and contained EEOC questionnaires. It was determined that the letters were not originated by an EEOC employee, however we could not identify who actually produced the letters. The case was closed pending discovery of additional evidence.

Impersonation of an EEOC Official

OIG received a complaint involving the transmittal of a letter addressing a discrimination charge against a private sector employer. OIG determined that the letter did not originate from an EEOC employee, and was unable to determine the author of the letter and therefore the case was closed.

Retaliation for Filing a Complaint with OIG

An EEOC employee alleged that she was disciplined for reporting a violation to OIG. Upon investigation, OIG determined that the alleged disciplinary action was initiated prior to any contact with OIG. No *nexus* could be established between the complaint or the disciplinary action and the case was closed.

ONGOING INVESTIGATIVE ACTIVITY

OIG currently has investigations ongoing in headquarters and seven field offices regarding allegations of misconduct by employees in connection with their employment, mismanagement by managers in connection to their subordinate employees, and falsification of time and attendance records. Other allegations include misuse of government equipment, falsification of government documents, improper disclosure of information, conflict of interest, false testimony in a court proceeding, and the impersonation of an EEOC official in order to deceptively solicit companies for advertisements.

OTHER OIG ACTIVITY

In addition to audit and investigative work, staff engaged in various professional activities in support of OIG's strategic goals to 1) attract, develop and retain a highly skilled workforce; 2) provide professional development, foster diversity, respect and teamwork and create an environment in which employees are motivated to excel and achieve their highest potential; and 3) maintain effective liaison with EEOC management, external law enforcement entities, and key congressional staff.

PROFESSIONAL DEVELOPMENT AND ASSOCIATION

Federal Law Enforcement Training Center Inspector General Training Academy

A staff Criminal Investigator attended the Inspector General Investigator Training Program at the Federal Law Enforcement Center in Glynco, Georgia. He successfully completed the 4 week training and has since returned to reassume his case load and is aggressively pursuing fraud, waste and abuse within the Commission.

National White Collar Crime Institute

OIG sent its Criminal Investigators to the National White Collar Crime Institute, in West Virginia. These staff members have successfully completed this Basic Data Recovery and Analysis course. Since this time they have been able to apply the essential elements acquired in the pursuit to prevent fraud, waste and abuse in the Commission.

Writing Better Statements of Work (SOW), Auditing in a Paperless Environment and Conducting Performance Audits

OIG's Auditor attended three auditing courses designed to improve skills in the planning, organizing and writing of sound and effective statements of work; concepts, requirements, techniques and other basic information needed for auditing in a paperless environment; and conducting performance audits in accordance with Generally Accepted Government Auditing Standards.

Harvard University's Senior Managers in Government Program

The Inspector General attended Harvard University's Senior Managers in Government Program. The three week program included executives in federal, state and international government agencies and involved case studies addressing political and change management, managing for results, and policy development. Exercises in negotiation, persuasion, team building, and implementing strategy were beneficial in enhancing executive decision making. Other professional activities included attendance at the IG Retreat and Association of Investigative Directors Conference.

Association of Inspectors General, Inspector General Institute

The Deputy Inspector General successfully completed the Association of Inspectors General (AIG), Inspector General Institute which was held at American University in Washington, DC. The AIG consists of State and federal government inspectors general and professional staff in their agencies, as well as other officials responsible for inspection and oversight with respect to public, not-for-profit, and independent sector organizations. The Institute provides instruction in areas of ethics; public management issues; legal issues; audits, inspections and reviews; and investigation of fraud, waste and abuse. The Association awards the designation of Certified Inspector General to individuals who successfully complete the Institute and meet the eligibility requirements regarding education and experience.

FBI Fraud and Public Corruption Seminar

OIG Agents attended the FBI seminar on Financial Fraud and Public Corruption. OIG Agents heard from Assistant United States Attorneys concerning the related statutes and prosecutorial guidelines. FBI Agents spoke on the difficulties in completing a financial fraud investigation and public corruption case, as well as, addressing how to overcome problems hindering a successful prosecution. The FBI Behavioral Science Unit spoke on stress management for law enforcement officers.

Secret Service Electronic Crime Forum

OIG Criminal Investigators attended the Secret Service Electronic Crime Forum. The Forum addressed Electronic Crime Computer Based Training, Internet Crime Investigation, Telecommunications Crime & Tracking Wireless Communications, The Future of Electronic Evidence Recovery and Electronic Crime & the Law. Special Agents of the U.S. Secret Service and Assistant U.S. Attorneys spoke on the topics.

Network Intrusion and Exploitation Training

OIG's Management Analyst participated in a two week course on Networks and Networking for Agents, and System Security and Exploitation course which provided the most current information on computer intrusion detection, response and investigation.

Supervisory Training

OIG provided a Special Agent the opportunity to obtain training for future career advancement. The Agent attended the Ultimate Supervisors Workshop and Team Leader Training sponsored by Rockhurst College. The training involved the Fundamentals of Leadership, Building Highly Motivated Teams, Communications Techniques, How to handle Difficult Employees, Managing your Time, Priorities and Projects, Habits and Traits of Highly Successful Leaders and Creating Vision and Planning Goals.

Administrative Support Training

The Administrative Staff members attended Business Writing & Grammar Skills workshops to improve techniques in writing and proofreading business letters, reports, memos and proposals. The Confidential Assistant attended a USDA Graduate course on Editing for Impact to improve/enhance skills for preparing written products. The Administrative Specialist and the Confidential Support Assistant attended the 2001 Conference for Administrative Professionals - a two day seminar dedicated to boosting interpersonal communication skills and career goals.

Also, the Administrative Specialist attended training on the Agency's new Integrated Financial Management System and the Federal Personnel and Payroll System.

Clear Writing Through Critical Thinking

The Auditor attended this course to strengthen reasoning skills, think more clearly, analyze information more effectively, examine ideas from different points of view, establish a logical framework for each piece of writing, organize and develop ideas for maximum effect, construct clear and persuasive arguments and overcome any weaknesses in writings related to reasoning, structure and logic.

Strategies for Implementing the Government Information Security Reform Act

The Management Analyst attended this seminar to exchange information with other agencies regarding implementing information security solutions.

Secret Service E-crimes Task Force

The Investigative Staff attended and participated in a recently developed task force headed by the U.S. Secret Service. The E-crimes Task Force is sharing technological information, and future available resources as the needs arise in our technologically advancing society.

PCIE/ECIE Investigative Subcommittee

OIG participates in this working group which provides feedback to the Investigative Committee of the joint President's Council on Integrity and Efficiency and Executive Council on Integrity and Efficiency (PCIE/ECIE). This subcommittee focuses on issues concerning the IG community and works to address those issues by providing the PCIE/ECIE with appropriate view points on the matters.

OIG continues to adopt advanced technology as prescribed by the Strategic Goal to manage OIG operations effectively and efficiently using information technology in support of audits, evaluations and investigations.

INVESTIGATIVE TECHNOLOGY UPDATE

OIG began using Choice Point Information Systems during this reporting period. Specifically, the AutoTrack program enables investigators to do their job better, smarter and faster. They have the power to identify and locate individuals, assets and businesses anywhere in the nation, more quickly, easily and effectively. The Internet browser-based technology links myriad databases to give agents online access to over four billion records, combining public records and publicly available information, including access to major consumer reporting agencies.

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APPENDIX

<i>SINGLE AUDIT ACT REPORTS</i>	
The Otoe-Missouria Tribe of Indians, FY 1997	The Chemehuevi Indian Tribe, FY 1998
The Cheyenne-Arapaho Tribes of Oklahoma, FY 1997	The Commonwealth of Kentucky, FY 1998
The Joint Programs of the Shoshone and Arapaho Tribes of the Wind River Reservations, FY 1997	The State of Alaska, FY 1999
The Puyallup Tribe of Indians, FY 1998	The State of Washington, FY 1999
The Confederate Tribes, FY 1998	The North Slope Borough, FY 1999
The Band of Yakama Indian Nation, FY 1998	The State of Idaho, FY 1999
The Swinomish Indian Tribal Community, FY 1998	The Spokane Tribe of Indians, FY1999
The State of Colorado, FY 1998	The State of California, FY 1999
The Blackfeet Tribe, FY 1998	The State of Texas, FY 1999
The Standing Rock Sioux Rock Tribe, FY 1998	The City of Austin, FY 1999
The Joint Programs of the Shoshone and Arapaho Tribes of the Wind River Reservation, FY 1998	The State of Missouri, FY 1999
The State of Maryland, FY 1998	The State of Arizona, FY 1999
The Hoopa Valley Tribe, FY 1998	The State of Utah, FY 1999
The San Carlos Apache Tribe, FY 1998	The White Mountain Apache Tribe, FY 1999
The Hopi Tribe, FY 1998	The Tohono O'odham Nation, FY1999
The State of New Jersey, FY 1998	The State of New Jersey, FY 1999

<i>SINGLE AUDIT ACT REPORTS</i>	
The State of Minnesota, FY 1998	The State of West Virginia, FY 1999
The Commonwealth of Pennsylvania, FY 1999	The State of Ohio, FY 1999
The State of Vermont, FY 1999	The City of Columbus, FY 1999
The State of Rhode Island and Providence Plantation, FY 1999	The State of North Carolina, FY 1999
The State of New York, FY 1999	The State of Florida, FY 1999
The City of New York, FY 1999	The City of St. Petersburg, FY 1999
The State of Massachusetts, FY 1999	The State of Maryland, FY 1999
The State of Connecticut, FY 1999	The State of Georgia, FY 1999
The State of Iowa, FY 1999	The Southern Ute Indian Tribe, FY 1999
The Fond du Lac Reservation, FY 1999	The Chemehuevi Indian Tribe, FY 1999
The State of Florida, FY 1999	The State of Nevada, FY 1999
The City of St. Petersburg, FY 1999	The California State University, Long Beach Foundation, FY 1999
The State of Tennessee, FY 1999	The State of California, FY 2000
The Commonwealth of Kentucky, FY 1999	The State of Missouri, FY 2000
The State of Indiana, FY 1999	The State of Utah, FY 2000
The Shoshone-Bannock Tribe, FY 1999	The State of Arizona, FY 2000
The State of South Dakota, FY 1999	The Commonwealth of Pennsylvania, FY 2000
The State of Colorado, FY 1999	The State of West Virginia, FY 2000
The State of Wyoming, FY 1999	The State of Connecticut, FY 2000

<i>SINGLE AUDIT ACT REPORTS</i>	
The State of Montana, FY 1999	The State of New York, FY 2000
The State of Nebraska, FY 1999	The State of Iowa, FY 2000
The Blackfeet Tribe, FY 1999	The State of Louisiana, FY 2000
The Ute Mountain Ute Tribe, FY 1999	The State of Florida, FY 2000
The Joint Programs of the Shoshone and Arapaho Tribes of the Wind River Reservations, FY 1999	The City of Austin, FY 2000
The State of Nevada, FY 2000	The State of Ohio, FY 2000
The California State University, Long Beach Foundation, FY 2000	The City of Columbus, FY 2000
The State of North Dakota, FY 2000	The State of North Carolina, FY 2000
The State of Colorado, FY 2000	New Hanover County, FY 2000
The State of Nebraska, FY 2000	The City of Alexandria, FY 2000
The State of Wyoming, FY 2000	The Prince George's County Government, FY 2000
The State of South Dakota, FY 2000	The State of Maryland, FY 2000
The State of Michigan, FY 2000	The State of Oregon, FY 2000
The North Slope Borough, FY 2000	

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